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Assistant Commissioner for Patents  
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Dear Sir:

Re: Entry into the United States National Phase - International Application No.  
PCT/GB99/02822

Enclosed for filing for entering the national stage under 35 USC 371 are checks for \$775 for payment of the basic national fee (USPTO was neither ISA nor IPEA - Search Report prepared by European Patent Office) together with a copy of the International Application including the International Search Report.

Also enclosed is a Preliminary Amendment to be entered upon granting of a serial number and filing date to the national stage application. The Declaration and Power of Attorney will be filed at a later date.

Applicant claims small entity status. If there is any deficiency in the basic national fee or processing fees at this time or during the pendency of this application, please charge such deficiency, or credit any overpayment, to Deposit Account No. 08-2442 of applicant's attorneys. A duplicate of this letter is enclosed for that purpose.

Respectfully submitted,

Martin G. Linihan

Martin G. Linihan  
Registration No. 24,926

MGL/mgl  
Enclosures

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of: Henry Guy Stevens  
United States National Phase  
Application corresponding to  
PCT/GB99/02822  
For: : PVA-Containing Compositions

PRELIMINARY AMENDMENT

Assistant Commissioner for Patents  
Washington, DC 20231

Sir:

Upon the granting of a serial number and filing date  
for the above application, please amend the application as  
follows:

In the Claims:

Please cancel claims 1-34 and substitute new claims 35-  
64 as follows:

35. A polymer feedstock in the form of a cold-pressed tablet or  
pellet for use in extrusion of an extruded product containing  
PVA, the cold-pressed tablet or pellet comprising a blend of PVA  
and up to 5% lubricant by weight to render the blend extrudable.

36. A polymer feedstock according to claim 35 wherein the  
lubricant comprises a fatty acid amide.

37. A polymer feedstock according to claim 36 wherein the fatty  
acid amide is a straight or branched C<sub>12</sub>-C<sub>24</sub> fatty acid amide.

38. A polymer feedstock according to claim 36 or 37 further comprising a plasticiser.
39. A polymer feedstock according to claim 38 wherein the plasticiser is selected from ethylene glycol, glycerine, glycerol, triethylene glycol, low molecular weight polyethylene glycols and C<sub>2</sub>-C<sub>8</sub> amides.
40. A polymer feedstock according to any of claims 35 to 39 comprising up to 20% plasticiser, by weight.
41. A polymer feedstock according to any preceding claim further comprising a filler.
42. A polymer feedstock according to claim 41 wherein the filler comprises inert, inorganic material.
43. A polymer feedstock according to claim 41 wherein the filler comprises a superabsorbent material.
44. A polymer feedstock according to claim 42 or 43 wherein the filler comprises both an inert, inorganic material and superabsorbent material.
45. A polymer feedstock according to claim 42, 43 or 44 wherein the inorganic filler comprises calcium carbonate.
46. A polymer feedstock according to any preceding claim comprising, by weight, up to 50% filler, up to 5% lubricant and up to 20% of a plasticizer.
47. A polymer feedstock according to claim 46 comprising, by weight, 5-50% filler, 0.5 to 2.5% lubricant, 5 to 15% plasticizer and 40-80% PVA.

48. A polymer feedstock according to any of claim 35-47, further comprising an additional lubricant component to reduce adhesion fo the polymer feedstock to surfaces.

49. A polymer feedstock according to claim 48 wherein the additional lubricant comprises a stearate.

50. A PVA-containing polymer feedstock in the form of a cold-pressed tablet or pellet comprising, by weight:-

- 40 to 80% PVA;
- 5 to 50% filler;
- 5 to 15% plasticizer; and
- 0.5 to 2.5% lubricant.

51. A polymer feedstock according to claim 50, comprising, by weight:-

- 40 to 70% PVA;
- 20 to 50% filler;
- 8 to 15% plasticizer;
- 0.5 to 1.5% internal lubricant; and
- 0.0001 to 0.1% external lubricant.

52. A polymer feedstock according to claim 50 or 51, wherein a fatty acid amide is provided as internal lubricant.

53. A polymer feedstock according to claim 50, 51 or 52 wherein stearate is provided as external lubricant.

54. A polymer feedstock according to claim 51 comprising, by weight:-

- 50 to 60% PVA;
- 30 to 40% stearate-coated calcium carbonate;
- 8 to 15% glycerol;
- 0.5 to 1.5% octadecanamide; and

0.0001 to 0.1% zinc stearate.

55. A polymer feedstock according to any preceding claim prepared substantially without melting of the PVA.

56. A polymer feedstock according to any preceding claim having a moisture content less than about 10% by weight but greater than 0.01% to bind the pellets or tablets.

57. A method of making a PVA-containing polymer feedstock comprising blending PVA with a lubricant, said lubricant including a fatty acid amide in the presence of an amount of moisture sufficient to bind the polymer feedstock into tablets or pellets upon cold pressing and cold pressing the feedstock into tablets or pellets.

58. A method according to claim 57 comprising blending, in a high speed blender, PVA with up to 5% by weight of lubricant.

59. A method according to any of claims 56 to 58 comprising adding moisture to the components to be blended.

60. A method according to any claims 57 to 59 wherein PVA and lubricant are fed into a high speed mixer gravimetrically.

61. A method of making a PVA-containing polymer feedstock comprising blending PVA and a filler, wherein the filler comprises a superabsorbent material.

62. A method according to claim 61 comprising blending PVA and a superabsorbent material in the presence of sufficient moisture to bind the polymer feedstock into tablets or pellets upon cold pressing.

63. A method of extruding a PVA-containing polymer feedstock comprising blending PVA and at least one of a lubricant and a filler to form a feedstock for an extrusion process, the feedstock being in the form of pellets or tablets, and extruding the feedstock into a product, wherein the feedstock is prepared substantially without melting of the PVA.

64. Use of a fatty acid amide in an amount of 0.5% to 1.5% by weight as an internal lubricant together with use of an external lubricant in an amount of 0.0001 to 0.1% by weight in the manufacture of a cold-pressed polymer feedstock containing PVA and up to 50% filler wherein the feedstock is manufactured by cold pressing into pellets or tablets using residual moisture to bind the pellets or tables and substantially without melting of the PVA.

Respectfully submitted,

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### PVA-CONTAINING COMPOSITIONS

The present invention relates to PVA-containing compositions, particularly filled  
5 compositions, to methods of making such compositions and to methods of extruding PVA-  
containing compositions.

There is currently a significant and increasing demand for bio-degradable polymers, to  
replace non bio-degradable polymers which take up an ever greater amount of disposal  
10 space, such as land-fill, or need to be incinerated.

Polyvinyl alcohol (PVA) is one bio-degradable polymer which is in widespread use. As a  
film, PVA shows a high degree of impermeability to a number of gases. Incorporated into  
adhesive, PVA shows high adhesive strength. PVA has significant potential in a wide range  
15 of products. However, the applications of PVA have been limited because there is currently  
no formulation of PVA or PVA-containing composition which can readily be extruded.

While attempts have been made to extrude articles from PVA, it has been found that melt  
extruded PVA becomes very unstable and significant residues become adhered to the  
20 surfaces of the extrusion apparatus, requiring very careful control of process conditions,  
specialised extrusion apparatus and frequent shut down of the extrusion process and purging  
of the apparatus.

It is known to polymerize ethylene with vinyl alcohol to provide a copolymer of ethylene-  
25 vinyl alcohol, in an attempt to retain the desirable properties of PVA whilst simultaneously  
obtaining an extrudable polymer. One such copolymer is marketed under the trade mark  
SOARNOL (registered trade mark of the Nippon Synthetic Chemical Industry Co, Limited).  
However, it is found that this copolymer has effectively lost all of the advantageous  
properties of PVA and is not an effective alternative to an extrudable PVA.

30

A chemically modified PVA is also known and sold as VINEX (registered trade mark of Air

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Products). This suffers, however, from the fact that some of the advantageous PVA properties are adversely affected by the chemical modification.

5 The search for bio-degradable polymers is acute in relation to certain sanitary products such as diapers and sanitary towels. However, these products typically comprise superabsorbent materials and at present such materials are only available in combination with conventional non bio-degradable polymers.

10 The present invention is concerned, at least in preferred embodiments, with providing PVA-containing compositions, methods of manufacturing the same and methods of extruding PVA-containing compositions which overcome or at least ameliorate some of the disadvantages identified in the art.

15 Accordingly, a first aspect of the invention provides a PVA-containing composition comprising a blend of PVA and an amount of lubricant effective to render the blend extrudable.

20 The lubricant preferably comprises a fatty acid amide and the composition may advantageously further comprise a plasticiser, the resultant blend being suitable for extrusion in conventional melt-extrusion apparatus. In embodiments of the invention, a PVA-containing composition comprises up to 20%, especially 5 to 15%, plasticizer and up to 5%, especially 0.5 to 2.5%, lubricant, by weight.

25 The composition of the present invention is thus an extrudable PVA-containing polymer, typically with a flexural modulus similar to other extrudable polymers. Known advantageous properties of PVA, such as its high tensile strength, good puncture resistance, and good barrier characteristics are retained in an extrudable composition which can be processed on current extrusion lines, blow-moulders and injection moulders without modification, and without the processing problems such as thermal degradation and high temperature cross  
30 linking, observed in attempts to extrude articles using hitherto known PVA-containing compositions.



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In embodiments of the invention, extrudable PVA-containing compositions have been obtained comprising fully hydrolysed PVA as well as partially hydrolysed PVA, and including PVA that is 70% or more hydrolysed.

- 5 Further embodiments of the invention provide PVA-containing compositions in which the molecular weight of the PVA varies from around 20,000, in some cases from around 10,000, to greater than 150,000. Generally, the application of the present invention is not limited to PVA of any particular percent hydrolysis nor of any particular molecular weight.
- 10 A second aspect of the invention provides a filled PVA-containing composition comprising a blend of PVA plus filler. In this composition, the filler is effectively a bulking agent and is relatively inexpensive compared to the PVA, thus a composition is obtained retaining advantageous properties of PVA whilst being cheaper per unit weight to produce.
- 15 In both aspects, the invention preferably provides a PVA-containing composition in the form of pellets or tablets. These preferably have a size of between about 1mm and 5mm in diameter and are suitably obtained by a method of the invention in which PVA, preferably substantially uncompounded and in powder or granular form, is mixed with at least one of lubricant and filler, and optionally other compounding ingredients, and cold pressed to form
- 20 a tablet or pellet. This cold-pressing method is substantially as described in WO-A-98/26911 in relation to different polymers.

With this method, the ingredients can be uniformly mixed and compounded in the correct proportions for the final product, and made into a form that is easier to handle than powder.

- 25 In addition, since the mixture is cold pressed rather than melted, problems of thermal degradation or variation in properties are reduced.

- References to "cold pressing" are intended to imply applying pressure to the powder to cause agglomeration without substantial melting of the polymer. The temperature is preferably
- 30 less than about 100 degrees Celsius, more preferably less than about 70-80 degrees Celsius. Preferably heat is not applied directly to the mixture. However, heat may be generated by

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mixing and/or pressing, and this may be allowed to warm the mixture, or cooling may be provided. It is permissible for some heat to be applied directly if necessary to facilitate binding. Some melting of the polymer or other ingredients may occur, particularly on a microscopic scale as a result of pressure at the interface between adjacent particles, but it is  
5 important that the bulk of the polymer granules do not liquefy.

Preferably, the mixture is compressed in discrete quantities into tablets or pellets, for example in a tablet press; this may provide more reliable agglomeration.

- 10 However, it is possible for the mixture to be extruded under pressure through an orifice, the pellets forming following exit of the mixture from the orifice. In such a case, binder or moisture may be added to the mixture, preferably as the mixture is extruded, or after preliminary mixing of the constituents.
- 15 Preferably, the mixture is substantially dry, but includes sufficient residual moisture to bind the tablets or pellets on pressing. This avoids the need to add a separate binder, and allows the tablets or pellets to be broken more easily as they enter the extruder simply by drying them further. When water is relied upon for binding, it is desirable to ensure that the tablets or pellets are dried prior to extruding, for example at between 40 and 80 degrees Celsius for  
20 4-8 hours; this alleviates problems of vapour formation during extrusion. The moisture content is desirable to form the tablets, but after forming, the tablets should in most cases retain their shape even when dried.

Preferably, the moisture content is less than about 10% by weight, and preferably greater  
25 than 0.01% by weight, more preferably less than about 5%. If the pellets or tablets are extruded or otherwise formed at relatively low pressures, however, the moisture content may be about 20% or even higher to ensure binding. If the pellets are too moist, they may tend to stick together, inhibiting flow, and drying after forming may be desirable.

- 30 The moisture may comprise residual moisture in the polymer or in one or more of the compounding ingredients. In this way, moisture can be provided automatically simply by

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not drying the ingredients fully prior to mixing.

It is preferred that the filled PVA-containing composition is extrudable, and hence preferred that the filled PVA-containing composition further comprises an effective amount of a  
5 lubricant to render the composition extrudable. The lubricant suitably comprises a fatty acid amide or a plasticiser or a mixture of both a fatty acid amide and a plasticiser.

The lubricant in compositions of the invention is provided so as to improve the thermal stability of the composition under extrusion. The lubricant may be referred to as an internal  
10 lubricant, in that its function is to improve lubrication between the polymer chains. Compositions of the invention may be intended for use in or in connection with food stuffs, and hence it is preferred that the lubricant is approved for food use. It is further preferred that the lubricant is a fatty acid amide, and particularly a straight or branched  $C_{12}$ - $C_{24}$  fatty acid amide, more particularly  $C_{16}$ - $C_{20}$ . Particularly and surprisingly good results are obtained  
15 if the lubricant comprises stearamide, a straight chain  $C_{18}$  fatty acid amide.

The compositions of the invention typically further include a plasticiser, to lower the melt temperature of the polymer under extrusion. The plasticiser may suitably be selected from glycerine, ethylene glycol, triethylene glycol, low molecular weight polyethylene glycols and  
20 low molecular weight amides. A particularly preferred plasticiser comprises or consists of glycerol.

While the proportion of components present may vary in compositions of the invention, embodiments of the invention generally comprise, by weight, up to 50% filler and up to 5%  
25 lubricant. More particular embodiments of the invention comprise, by weight, 5-50% filler, 40-80% PVA, up to 5% lubricant and 5-20% plasticizer.

Compositions of the invention are thus extrudable, but it may be that ease of extrusion depends partly upon the state of the extrusion apparatus, in particular the roughness of  
30 surfaces in the apparatus. In further embodiments of the invention, the compositions comprises an additional lubricant, which may be referred to as an external lubricant, to

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prevent or reduce adhesion of the composition to such surfaces. This external lubricant is typically present at 0.001 to 0.1% by weight of the composition and preferably approved for food use, in the same way as the internal lubricant. Stearate salts are suitable external lubricants, in particular magnesium, lead or zinc stearates.

5

Fillers for incorporation into compositions of the invention may suitably be selected from conventional polymer fillers. Typically the filler is an inert, inorganic material and a particularly preferred filler is or comprises talc, calcium carbonate. In a specific embodiment of the invention, this talc may be micronised, such as in particles with a mean  
10 size of about 20 microns and may further be coated, such as with a stearate. One such coated, micronised talc is available from Croxton and Gary as 90T (trade mark of Croxton and Gary).

It is further an option for the filler to comprise or consist of a superabsorbent material. In  
15 a specific embodiment of the invention, described in an example below, a filled PVA-containing composition comprises a superabsorbent which contains cross-linked sodium polyacrylate (available from Alloid Colloids as SALISORB CL31 (registered trade mark)). Filled compositions of the invention may nevertheless contain superabsorbent material of substantially any type. Incorporation of such superabsorbent material confers the particular  
20 advantage that sanitary products such as diapers and sanitary towels, hitherto major components of waste storage sites such as land-fill sites, may now be made of or comprise a significant proportion of bio-degradable material.

A number of water-absorbent compositions are known and suitable for use as the filler in  
25 embodiments of the invention. For example, US Patent numbers 3,954,721 and 3,983,095 disclose preparations for derivatives of copolymers of maleic anhydride with at least one vinyl monomer in fibrous form. The fibrous copolymers are rendered hydrophilic and water-swella-  
ble by reaction with ammonia or an alkali metal hydroxide. US Patent No. 3,810,468 discloses lightly cross-linked olefin-maleic anhydride copolymers prepared as  
30 substantially linear copolymers and then reacted with a diol or a diamine to introduce cross-linking. The resultant lightly cross-linked copolymers are treated with ammonia or

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an aqueous or alcohol solution of an alkali metal hydroxide. US Patent No. 3,980,663 describes water-swellaable absorbent articles made from carboxylic polyelectrolytes via cross-linking with glycerine diglycidyl ether. These patents are incorporated herein by reference.

5

European Published Application No. 0 268 498 (incorporated herein by reference) describes a water-absorbent composition formed by causing a substantially linear polymer of water-soluble ethylenically unsaturated monomer blends comprising carboxylic and hydroxylic monomers to cross-link internally.

10

Further examples of water-absorbent compositions are those produced from a copolymer of an  $\alpha,\beta$  unsaturated monomer having at least one pendant unit selected from a carboxylic acid group and derivatives thereof and a copolymerisable monomer. A proportion of the pendant units are present in the final copolymer as the free acid and a proportion as the salt of the acid. These copolymers are capable of being cross-linked, either internally or with a variety of cross-linking agents, to form the water-swellaable composition. Examples of water-swellaable compositions of this type can be found in US Patent Nos 4,616,063, 4,705,773, 4,731,067, 4,743,244, 4,788,237, 4,813,945, 4,880,868 and 4,892,533 and European Patent Nos 0 272 074 and 0 264 208 and European Published Application

20 No. 0 436 514 which are incorporated herein by reference.

Derivatives of carboxylic acid groups include carboxylic acid salt groups, carboxylic acid amide groups, carboxylic acid imide groups, carboxylic acid anhydride groups and carboxylic acid ester groups.

25

Other examples of water-absorbent compositions can be found in US 4798861, WO93/17066, WO93/255735, WO 93/24684, WO93/12275, European Published Application Nos 0 401 044, 0 269 393, 0 326 382, 0 227 305, 0 101 253, 0 213 799, 0 232 121, 0 342 919, 0 233 014, 0 268 498 and 0 397 410, British Patent Application Nos

30

2 082 614, 2 022 505, 2 270 030, 2 269 602 and 2 126 591, US Patent Nos 4,418,163, 4,418,163, 3,989,586, 4,332,917, 4,338,417, 4,420,588 and 4,155,957 and French Patent

Application No. 2 525 121 which are all incorporated herein by reference.

The extrudable compositions of the invention are suitable for manufacture of substantially any article made using currently extrudable polymers, including films and bottles and any  
5 other articles. The compositions are suited to manufacture of filaments and fibre, for use in spunbond, non-woven and melt-blown applications. The composition is suitable also for manufacture of such articles as agri-chem sachets, mulch films, plant pots, domestic bags, diapers, drinking straws, fem care products, hangers, incontinence pads, sachets, six pack rings, disposable clothing, expanded foams, gloves, film canisters, golf tees, shot  
10 gun cartridges, bed pans, bottles, bowls, cotton buds, hospital curtains, "one-use" sterile products and packaging materials.

Compositions of PVA have good gas and fossil fuel barrier properties and are particularly suitable for making balloons and disposable packaging for oil and the like.

15

Good results have been obtained with embodiments having the following make up, by weight:-

- (a) 40 to 80% PVA;
- (b) 5 to 50% filler;
- 20 (c) 5 to 15% plasticiser, preferably glycerol;
- (d) 0.5 to 2.5% lubricant, preferably a fatty acid amide as an internal lubricant, most preferably octodecanamide.

Particularly good results have been obtained in embodiments of the invention having the  
25 following make-up, by weight:-

- (a) 40 to 70% PVA;
- (b) 20 to 50% filler, preferably a micronised inorganic material such as talc, preferably coated with stearate;
- (c) 8 to 15% plasticizer, preferably glycerol;
- 30 (d) 0.5 to 1.5% internal lubricant, preferably a fatty acid amide, most preferably octodecanamide; and

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(e) 0.0001 to 0.1 % external lubricant, preferably stearate.

The composition may contain residual moisture, sufficient to enable the composition to be bound as a cold-pressed tablet.

5 Further advantageous results have been obtained in compositions of the invention comprising, by weight:-

50 to 60% PVA;

30 to 40% stearate-coated calcium carbonate;

8 to 15% glycerol;

10 0.5 to 1.5% octadecanamide; and

0.0001 to 0.1 % zinc stearate.

In a third aspect, the invention provides a method of making an extrudable PVA-containing composition comprising blending PVA with a lubricant, said lubricant  
15 including a fatty acid amide. The method preferably comprises blending PVA with a fatty acid amide in the presence of an amount of moisture sufficient to bind the composition into tablets or pellets upon cold pressing.

The amount of lubricant blended with the PVA is typically restricted by the fact that,  
20 above a certain percent, excess lubricant separates out from the blend, and generally lubricant is blended at up to 5% by weight of the PVA present. The method thus conveniently enables tablets or pellets of the composition to be prepared as the feedstock for an extrusion. Blending of the components of the composition is achieved using conventional apparatus, one such example being a high speed blender.

25

The method may optionally comprise adding small amounts of moisture to the components to be blended, such as by dripping water into the blend. Preferably, PVA and lubricant are fed into a high speed mixer gravimetrically.

30 In a fourth aspect, the invention provides a method of making a PVA-containing composition comprising blending PVA and a filler, wherein the filler comprises a

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superabsorbent material. It is preferred that blending is carried out in the presence of sufficient moisture to bind the composition into tablets or pellets upon cold pressing, the moisture optionally being present in the starting materials of the blend or being introduced into the blend, such as by drip-feeding.

5

A fifth aspect of the invention provides a method of extruding a PVA-containing composition so as to form an extruded product which contains PVA, comprising:-

10

blending PVA with at least one component selected from a lubricant and a filler;  
and

cold pressing the resultant blend into pellets or tablets;

15

wherein the pellets or tablets comprise the polymer feedstock for extrusion of an  
extruded product containing PVA.

20

The PVA is preferably blended with one or more lubricant or filler components in the presence of sufficient moisture to bind the blend upon cold pressing. An advantage of the method is that the PVA-containing feedstock for the extrusion step is obtainable substantially without melting of the PVA. This improves the stability of the PVA during subsequent extrusion. Hitherto, as has been recognised in the present invention, attempts to extrude a PVA-containing feedstock largely failed as the PVA already had a heat history, ie had been wholly or partially melted in processing stages prior to the extrusion stage. The present invention avoids the disadvantage of introducing such a heat history into the PVA-containing composition.

25

A sixth aspect of the invention provides a method of extruding a PVA-containing composition comprising blending PVA and at least one optional component selected from a lubricant and a filler to form a feedstock for an extrusion process, the feedstock being in the form suitably of powder, pellets or tablets, and extruding the feedstock into a product, wherein the feedstock is prepared substantially without melting of the PVA.

30



A seventh aspect of the invention provides a method of extruding a polymer composition containing a heat sensitive polymer, comprising blending the heat sensitive polymer with one or more optional components selected from a filler and a lubricant to form a feedstock for an extrusion process, the feedstock being suitably in the form of powder or pellets or tablets, and extruding the feedstock into an extruded product, wherein the feedstock is prepared substantially without melting of the heat sensitive polymer.

Optional and preferred features of the first and second aspects of the invention are, similarly, optional and preferred features of the third to seventh aspects of the invention.

10

The invention is now described in the following non-limiting examples.

#### Example 1

15 A blend of, by weight, approximately 60% fully hydrolysed PVA, 30% calcium carbonate, 10% glycerol, 0.01% zinc stearate and 1% octadecanamide was prepared in a high speed blender. It was found to have a white/cream colour with the following properties:-

20	density	1.65 g/cm <sup>3</sup>
	melt density	1.46 g/cm <sup>3</sup> at 200°C (under ISO 1183)
	MFR	357 (10 mins/200°C/21.6 kilograms, under ISO 1133)
	melt temperature	200°C
25	processing temperature	190 - 200°C
	residence time	up to 15 minutes
	drying time	4 hours at 80°C

#### Example 2

30

A blend was prepared in a similar way to example 1 of, by weight, approximately 60%

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partially hydrolysed PVA, 30% calcium carbonate, 10% glycerol, 0.01% zinc stearate and 1% octadecanamide. This was found to have the following properties:-

	density	1.65 g/cm <sup>3</sup>
5	melt density	1.38-1.40 g/cm <sup>3</sup> at 190°C (under ISO 1183)
	MFR	22 (10 mins/190°C/5 kilograms, under ISO 1133)
	apparent melt viscosity	236/49 (Pa.s 1,000s/10,000s)
	melt temperature	200°C
	processing temperature	190-200°C
10	residence time	up to 15 minutes
	drying time	4 hours at 80°C

### Example 3

- 15 The PVA-containing compositions of examples 1 and 2 were examined for their extrudability in injection-moulding machines made by Brabender, Killion, Windsor, Hesas, Battenfield, Fischer, Demag and Arburg. Extrusion processing was carried out using a single full flight screw with constant pitch. The barrel temperature had a profile of 180-200°C (melt 190-210°C) and the screw speed varied typically between 20 and 120
- 20 rpm. Shut down of the apparatus was carried out by maintaining the temperature for up to 15 minutes with screw rotation stopped, over a period of 3 hours reducing the temperature to 100°C with screw rotation stopped and subsequently completing the shut down by turning the machine off.
- 25 Whether or not a given composition is extrudable (by which is meant on commonplace extrusion apparatus) will normally be clear to one skilled in the art. In the event that a test is required, however, it is suggested that extrudability is determined by attempting extrusion on one or more of the above-named manufacturers machines using a single full flight screw with constant pitch with speeds and temperatures in the above range. If the
- 30 composition extrudes reliably on at least two of the above machines with routine adjustment of parameters, it is to be deemed extrudable; if consistent problems are

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obtained and extrusion is only possible under highly specific conditions or on specialised equipment, it is to be deemed not to be extrudable.

The compositions of both examples 1 and 2 were satisfactorily extruded into a range of films and tubes blow-moulded containers of various sizes and colours and injected moulded products.

#### Examples 4-9

- 10 PVA-containing compositions were prepared as blends of the following components in the amounts shown:-

EXAMPLE						
	4	5	6	7	8	9
<b>Components</b>						
PVA - fully hydrolysed	-	-	-	50	60	55
PVA - partially hydrolysed	50	60	55	-	-	-
Calcium carbonate (coated)	40	30	30	40	30	30
Glycerol	9	9	14	9	9	14
Octadecanamide	1	1	1	1	1	1
Zinc Stearate	0.01	0.01	0.01	0.01	0.01	0.01

#### Example 10

- 30 A further filled PVA-containing compositions was prepared as a blend of, by weight,

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approximately 60% partially hydrolysed PVA, 30% cross-linked sodium polyacrylate (a superabsorbent), 9% glycerol, 1% octadecanamide and 0.01% zinc stearate.

5 As far as extrusion apparatus is concerned, it is advantageous to use chrome plated screws and for the melt flow path to use chrome plated surfaces and gradual tapers to streamline the melt.

10 The invention thus provides PVA-containing compositions for use in the manufacture of bio-degradable articles. The invention extends to combinations of all features individually disclosed. In particular, optional or preferred features of any of the apparatus, product or method aspects may be combined with features of other aspects.

**CLAIMS**

1. A PVA-containing composition, comprising a blend of PVA and an amount of lubricant effective to render the blend extrudable.
- 5 2. A composition according to Claim 1 wherein the lubricant comprises a fatty acid amide.
3. A composition according to Claim 2 wherein the fatty acid amide is a straight or  
10 branched C<sub>12</sub>-C<sub>24</sub> fatty acid amide.
4. A composition according to Claim 2 or 3 wherein the composition further comprises a plasticiser.
- 15 5. A composition according to Claim 4 wherein the plasticiser is selected from ethylene glycol, glycerine, glycerol, triethylene glycol, low molecular weight polyethylene glycols and C<sub>2</sub>-C<sub>8</sub> amides.
6. A composition according to any of Claims 1 to 5 comprising up to 5% lubricant,  
20 by weight.
7. A composition according to any of Claims 1 to 6 comprising up to 20% plasticiser, by weight.
- 25 8. A composition according to any of Claims 1 to 7, in the form of a tablet or pellet obtainable by cold-pressing
9. A filled PVA-containing composition, comprising a blend of PVA plus filler.
- 30 10. A composition according to Claim 9 wherein the filler comprises inert, inorganic material.

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11. A composition according to Claim 9 wherein the filler comprises a superabsorbent material.

12. A composition according to Claim 9 wherein the filler comprises both an inert,  
5 inorganic material and superabsorbent material.

13. A composition according to Claim 9, 10 or 12 wherein the inorganic filler comprises calcium carbonate.

10 14. A composition according to any of Claims 9-13 further comprising a lubricant.

15. A composition according to Claim 14 wherein the lubricant comprises a fatty acid amide.

15 16. A composition according to any of Claims 14 to 15 comprising, by weight, up to 50% filler, up to 5% lubricant and up to 20% of a plasticizer.

17. A composition according to any of Claims 14 to 16 comprising, by weight, 5-50% filler, 0.5 to 2.5% lubricant, 5 to 15% plasticizer and 40-80% PVA.

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18. A composition according to any of Claim 1-17, further comprising an additional lubricant component to reduce adhesion of the composition to surfaces.

19. A composition according to Claim 18 wherein the lubricant comprises a stearate.

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20. A composition according to any of Claims 9 to 19 in the form of a tablet or pellet obtainable by cold-pressing.

21. A PVA-containing composition comprising, by weight:-

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40 to 80% PVA;

5 to 50% filler;

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5 to 15% plasticizer; and

22. A composition according to Claim 21, comprising, by weight:-  
40 to 70% PVA;  
20 to 50% filler;  
8 to 15% plasticizer;  
0.5 to 2.5% lubricant. internal lubricant; and  
0.0001 to 0.1% external lubricant.
23. A composition according to Claim 22 comprising, by weight:-  
50 to 60% PVA;  
30 to 40% stearate-coated calcium carbonate;  
8 to 15% glycerol;  
0.5 to 1.5% octadecanamide; and  
0.0001 to 0.1% zinc stearate.
24. A method of making a PVA-containing composition comprising blending PVA with a lubricant, said lubricant including a fatty acid amide.
25. A method according to Claim 24 comprising blending PVA with a fatty acid amide in the presence of an amount of moisture sufficient to bind the composition into tablets or pellets upon cold pressing.
26. A method according to Claim 24 and 25 comprising blending, in a high speed blender, PVA with up to 5% by weight of lubricant.
27. A method according to any of Claims 24 to 26 comprising adding moisture to the components to be blended, such as by dripping water into the blend.
28. A method according to any of Claims 24 to 27 wherein PVA and lubricant are fed into a high speed mixer gravimetrically.

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29. A method of making a PVA-containing composition comprising blending PVA and a filler, wherein the filler comprises a superabsorbent material.

30. A method according to Claim 29 comprising blending PVA and a superabsorbent material in the presence of sufficient moisture to bind the composition into tablets or pellets upon cold pressing.

31. A method of extruding a PVA-containing composition so as to form an extruded product which contains PVA, comprising:-

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blending PVA with at least one optional component selected from a lubricant and a filler;

cold pressing the resultant blend into pellets or tablets;

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wherein the pellets or tablets comprise the polymer feedstock for extrusion of an extruded product containing PVA.

32. A method according to Claim 31 comprising blending PVA with one or more optional components in the presence of sufficient moisture to bind the blend upon cold pressing.

33. A method of extruding a PVA-containing composition comprising blending PVA and at least one optional component selected from a lubricant and a filler to form a feedstock for an extrusion process, the feedstock being in the form suitably of powder, pellets or tablets, and extruding the feedstock into a product, wherein the feedstock is prepared substantially without melting of the PVA.

34. A method of extruding a polymer composition containing a heat sensitive polymer, comprising blending the heat sensitive polymer with one or more optional components selected from a filler and a lubricant to form a feedstock for an extrusion process, the



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feedstock being suitably in the form of powder or pellets or tablets, and extruding the feedstock into an extruded product, wherein the feedstock is prepared substantially without melting of the heat sensitive polymer.

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PTO/SB/01 (12/97)

Approved for use through 09/30/00, OMB 0651-0032

<b>DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION (37 CFR 1.63)</b>		Attorney Docket Number	18872.0102	
		First Named Inventor	Henry Guy Stevens	
		<b>COMPLETE IF KNOWN</b>		
		Application Number	09/763,678	
		Filing Date	February 26, 2001	
		Group Art Unit		
<input type="checkbox"/> Declaration Submitted with Initial Filing	OR	<input checked="" type="checkbox"/> Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16(e)) required)	Examiner Name	

As a below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

PVA- Containing Compositions

the specification of which

(Title of the Invention)

☐ is attached hereto  
OR

☒ was filed on (MM/DD/YYYY) 02/26/01 as United States Application Number or PCT International Application Number 09/763,678 and was amended on (MM/DD/YYYY)                      (if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application (Numbers)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached	
				YES	NO
9818604.2	Great Britain	08/26/98	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

Application Number(s)	Filing Date (MM/DD/YYYY)	<input type="checkbox"/> Additional provisional applications are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

## DECLARATION - Utility or Design Patent Application

I hereby claim the benefit under 35 U.S.C. 120 of any United States application(s), or 365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of 35 U.S.C. 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56 which becomes available between the filing date of the prior application and the national or PCT international filing date of this application.

U.S. Parent Application or PCT Parent Number	Parent Filing Date (MM/DD/YYYY)	Parent Patent Number (if applicable)
PCT/GB99/02822 ✓	August 26, 1999 ✓	

☐ Additional U.S. or PCT international application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

As a named inventor, I hereby appoint the following registered practitioner(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

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OR

☒ Registered practitioner's name/registration number listed below

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☐ Additional registered practitioner(s) named on supplemental Registered Practitioner Information sheet PTO/SB/02C attached hereto

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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patents issued thereon.

Name of Sole or First Inventor: ☐ A petition has been filed for this unsigned inventor

Given Name (first and middle (if any))	Family Name or Surname
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☐ Additional inventors are being named on the \_\_\_\_\_ supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.

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